

FORM PTO-1390 (REV 11-2000)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER 3286US	
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371				APPLICATION NO. (If known, see 37 CFR 1.5) 10/009,671	
INTERNATIONAL APPLICATION NO. PCT/JP00/02968		INTERNATIONAL FILING DATE 10.05.00 (10 May 2000)		PRIORITY DATE CLAIMED 11.05.99 (11 May 1999)	
TITLE OF INVENTION OPTICAL HEAD					
APPLICANT(S) FOR DO/EO/US Daisuke OGATA, Katuhiko YASUDA, Akihiro YASUDA					
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:					
1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371. 2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31). 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input checked="" type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).					
<b>Items 11 to 20 below concern documents(s) or information included:</b>					
11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 U.S.C. 1.97 and 1.98. 12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input type="checkbox"/> A FIRST preliminary amendment. 14. <input checked="" type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A change of power of attorney and/or address letter. 17. <input type="checkbox"/> A computer readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 – 1.825. 18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. <input checked="" type="checkbox"/> Other items or information: Certificate of Express Mail; Copy of 371 Formalities Letter; copy of English Claims as originally filed					

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>10/009,671</b>	INTERNATIONAL APPLICATION NO. <b>PCT/JP00/02968</b>	ATTORNEY DOCKET NUMBER <b>MTS-3286US</b>
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21. <input type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.402(a)(1) - (5)):</b> <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO... .. <b>\$1040.00</b>  <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO... .. <b>\$890.00</b>  <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$740.00</b>  <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$710.00</b>  <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b>  <div style="text-align: right;"> <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b> \$         </div>	<div style="text-align: center; border: 1px solid black; padding: 5px;"> <b>CALCULATIONS PTO USE ONLY</b> </div>
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Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input checked="" type="checkbox"/> 20 <input type="checkbox"/> 30 Months from the earliest claimed priority date (37 CFR 1.492(e)).		\$ 130.00	
CLAIMS	NUMBER FILED	EXTRA NUMBER	RATE
Total claims	- 20 =		X \$18.00
Independent claims	- 3 =		X \$84.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable) <input type="checkbox"/>			+ \$280.00
<b>TOTAL OF ABOVE CALCULATIONS =</b>			<b>\$ 130.00</b>
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.			\$
<b>SUBTOTAL =</b>			<b>\$ 130.00</b>
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 Months from the earliest claimed priority date (37 CFR 1.492(f)).			\$
<b>TOTAL NATIONAL FEE =</b>			<b>\$</b>
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property			\$ 40.00
<b>TOTAL FEES ENCLOSED =</b>			<b>\$ 170.00</b>
		<b>Amount to be refunded:</b>	\$
		<b>Charged:</b>	\$

a. ☒ Two checks totaling **\$170.00** to cover the above fees are enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.

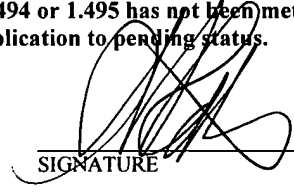
c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **18-0350**. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

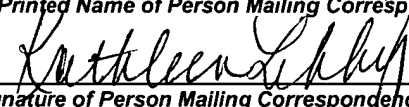
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 Tel: (610) 407-0700  
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 SIGNATURE  
 Allan Ratner  
 NAME  
 19,717  
 REGISTRATION NUMBER  
 June 26, 2002  
 DATE

07/01/2002 GREY1 00000148 10009671

01 FC:154

130.00 OP

<b>CERTIFICATE OF MAILING BY EXPRESS MAIL" (37 CFR 1.10)</b> Applicant(s): D. Ogata et al.			Docket No. MTS-3286US
Serial No. 10/009,671	Filing Date Herewith	Examiner	Group Art Unit
Invention: OPTICAL HEAD			
<p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 10px; min-height: 100px;">Form PTO-1390 (in duplicate) and its related enclosures</div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>Is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on June 26, 2002</p> <div style="text-align: right; margin-top: 20px;"><div style="display: inline-block; text-align: left;"><u>Kathleen Libby</u> <i>(Typed or Printed Name of Person Mailing Correspondence)</i>  <i>(Signature of Person Mailing Correspondence)</i></div><div style="display: inline-block; text-align: left; margin-top: 10px;"><u>EV050915253US</u> <i>("Express Mail" Mailing Label Number)</i></div></div>			
<b>Note: Each paper must have its own certificate of mailing.</b>			

YTS-3286US

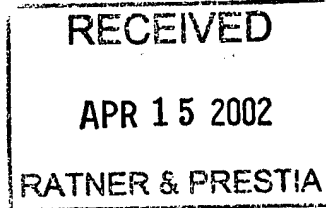


UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
 United States Patent and Trademark Office  
 Washington, D.C. 20231  
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/009,671	Daisuke Ogata	MTS-3286US

Allan Ratner  
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 P O Box 980  
 Valley Forge, PA 19482



INTERNATIONAL APPLICATION NO.	
PCT/JP00/02968	
I.A. FILING DATE	PRIORITY DATE
05/10/2000	05/11/1999

CONFIRMATION NO. 8269

371 FORMALITIES LETTER



\*OC000000007820248\*

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 06/09/02 /ne

Date Mailed: 04/09/2002

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Priority Document
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Information Disclosure Statements
- Oath or Declaration
- Preliminary Amendments
- Request for Immediate Examination

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Translation of the application into English. The current translation of the application into English is defective as described below.
  - The number of claims in the International Application and the number of claims in the translation are not the same.
  - MISSING CLAIM NUMBER 5
- Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 30 months from the priority date (37 CFR 1.492(f)).
- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:

■ is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.

- **\$130** Surcharge for providing the oath or declaration later than the appropriate 30 months from the priority date (37 CFR 1.492(e)) is required.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

#### SUMMARY OF FEES DUE:

Total additional fees required for this application is **\$260** for a Large Entity:

- **\$130** Late oath or declaration Surcharge.
- **\$130** for English translation surcharge required.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

FREDERICK SMITH

Telephone: (703) 305-3654

#### PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/009,671	PCT/JP00/02968	MTS-3286US